



New Attorney Docket No.: 401190-000006

IN THE UNITED STATES PATENT & TRADEMARK OFFICE

In re the application of: Shaoping WANG et al.

Serial No.: 10/035,672

Filed: November 1, 2001

Art Unit: 1765

Confirmation No.: 4606

Examiner: Matthew A. Anderson

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

June 18, 2004
Date
Stephanie Warner-Wallace
Name
June 18 2004
Date of Signature

For: METHOD OF SILICON CARBIDE MONOCRYSTALLINE BOULE GROWTH

CUSTOMER NO.: 28465

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

CERTIFICATE UNDER 37 C.F.R. §3.73(b)
AND POWER OF ATTORNEY

Dow Corning Enterprises, Inc., a Delaware Corporation (the "Assignee"), is the owner of the entire right, title and interest in the above-identified Patent Application ("the Patent Application") by virtue of an Assignment by and between Sterling Semiconductor, Inc. and Dow Corning Enterprises, Inc.; Sterling Semiconductor, Inc., a Delaware Corporation, in turn obtained title by virtue of an Assignment from the inventors of this Patent Application. As evidence of these assignments, the Assignee points to the enclosed copy of the Assignment by and between Sterling Semiconductor, Inc. and Dow Corning Enterprises, Inc. recorded on February 24, 2003,

at Reel 013781, Frame 0276, and to the recordation of the October 29, 2001 Assignment of U.S. Patent Application Serial No. 10/035,672 by the inventors, on November 1, 2001 at Reel 012451, Frame 0284. Copies of the Assignments by and between Sterling Semiconductor, Inc. and Dow Corning Enterprises, Inc., and the Assignment from the inventors to Sterling Semiconductor, Inc. will be submitted to the U.S. Patent and Trademark Office on the same day that this document is filed.

Assignee hereby appoints as its attorneys to prosecute this Patent Application and to transact all business in the U.S. Patent and Trademark Office connected with the Patent Application and with any resulting patent: Joel H. Bootzin, Reg. No. 42,343; Mark I. Feldman, Reg. No. 26,880; R. Blake Johnston, Reg. No. 41,097; Michael L. Kenaga, Reg. No. 34,639; Jefferson Perkins, Reg. No. 31,407; Micah R. Onixt, Reg. No. 47,834; James P. Ryther, Reg. No. 20,424; Thomas W. Ryan, Reg. No. 43,072; Steven B. Kelber, Reg. No. 30,073; James M. Heintz, Reg. No. 41,828; Jerold I. Schneider, Reg. No. 24,765 and Christopher W. Raimund, Reg. No. 47,258, all of said attorneys being of the firm of Piper Rudnick LLP, with full power of substitution and revocation, to prosecute this application and represent the undersigned before all competent International Authorities.

Please direct all correspondence to:

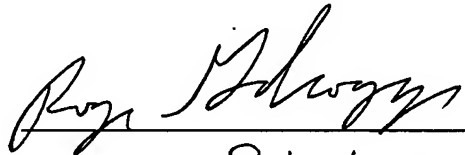
Piper Rudnick LLP
P.O. Box 64807
Chicago, Illinois 60664-0807

Please direct all telephone calls to:

Jefferson Perkins
(312) 368-7073

I hereby declare that all statements made herein of my own knowledge are true, and that all statements made on information and belief are believed to be true; and further, that these statements are made with the knowledge that willful false statements, and the like so made, are punishable by fine or imprisonment, or both, under Section 1001, Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

Signature:

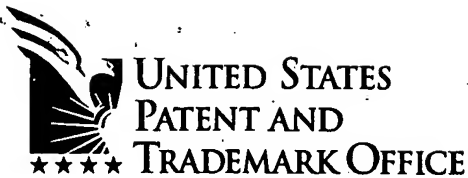


Title:

General Patent Counsel

Date:

1/9/04



MARCH 07, 2002

PTAS

PIPER MARBURY RUDNICK & WOLFE
JOEL H. BOOTZIN
203 NORTH LASALLE STREET SUITE 1800
CHICAGO, ILLINOIS 60601-1293

Chief Information Officer
Washington, DC 20231
www.uspto.gov



101946481A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 11/01/2001

REEL/FRAME: 012451/0284
NUMBER OF PAGES: 6

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

WANG, SHAOPING

DOC DATE: 10/29/2001

ASSIGNOR:

KOPEC, ANETA

DOC DATE: 10/29/2001

ASSIGNOR:

WARE, RODD MITCHELL

DOC DATE: 10/29/2001

ASSIGNOR:

HOLMES, SONIA

DOC DATE: 10/29/2001

ASSIGNEE:

STERLING SEMICONDUCTOR, INC.
22660 EXECUTIVE DRIVE SUITE 101
STERLING, VIRGINIA 20166-9535

SERIAL NUMBER: 10035672

FILING DATE: 11/01/2001

PATENT NUMBER:

ISSUE DATE:

012451/0284 PAGE 2

LAŽENA MARTIN, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

FORM PTO-1618A
Expires 06/30/99
OMB 0651-0027



01-15-2002

U.S. Department of Commerce
Patent and Trademark Office
PATENT



101946481

RECORDATION FORM COVER SHEET
PATENTS ONLY

997 U.S. PTO
10/035672

11/01/01

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- ☒ New
☐ Resubmission (Non-Recordation)
Document ID #
☐ Correction of PTO Error
Reel # Frame #
☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☒ Assignment ☐ Security Agreement
☐ License ☐ Change of Name
☐ Merger ☐ Other
U.S. Government
(For Use ONLY by U.S. Government Agencies)
☐ Departmental File ☐ Secret File

Conveying Party

☐ Mark if additional names of conveying parties attached

Name (line 1) **WANG, Shaoping**

Effective Date
Month Day Year
10292001

Name (line 2)

Second Party

Name (line 1) **KOPEC, Aneta**

Effective Date
Month Day Year
10292001

Name (line 2)

Receiving Party

☒ Mark if additional names of conveying parties attached

Name (line 1) **STERLING SEMICONDUCTOR, INC.**

Name (line 2)

Address (line 1) **22660 Executive Drive**

Address (line 2) **Suite 101**

Address (line 3) **Sterling**

Virginia

20166-9535

City

State/Country

Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address Enter for the Receiving Party only

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

01/14/2002 TDIAZ1 00000548 10035672

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Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

CHGO1:30061327:1:11/01/01

Correspondent Name and Address

Area Code and Telephone Number

(312) 368-7072

Name

Joel H. Bootzin

Address (line 1)

Piper Marbury Rudnick & Wolfe

Address (line 2)

203 North LaSalle Street

Address (line 3)

Suite 1800

Address (line 4)

Chicago, Illinois 60601-1293

Pages

Enter the total number of pages of the attached conveyance document including any attachments

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3

Application Number(s) or Patent Number(s)

☐

Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor

Month Day Year

10 29 2001

Patent Cooperation Treaty (PCT)

Enter PCT application number
only if a U.S. Application Number
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

Number of Properties

Enter the total number of properties involved.

#

1

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41):

\$

40.00

Method of Payment:

☒

Enclosed

☐

Deposit Account

Deposit Account

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

#

18-2284

Authorization to charge additional fees:

Yes

☒

No

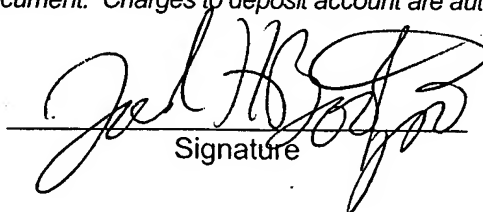
☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Joel H. Bootzin
Name of Person Signing
Reg. No. 42,343

Signature



November 1, 2001
Date Signed



RECORDATION FORM COVER SHEET
CONTINUATION
PATENTS ONLY

U.S. Department of Commerce
Patent and Trademark Office
PATENT

Conveying Party

☒ Mark if additional names of conveying parties attached

Enter additional Conveying Parties

Name (line 1) **WARE, Rodd Mitchell**

Effective Date
Month Day Year
10292001

Name (line 2)

Name (line 1) **HOLMES, Sonia**

Effective Date
Month Day Year
10292001

Name (line 2)

Name (line 1)

Effective Date
Month Day Year

Name (line 2)

Receiving Party

☐ Mark if additional names of conveying parties attached

Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)
City State/Country Zip Code

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Name (line 1)

Name (line 2)

Address (line 1)

Address (line 2)

Address (line 3)
City State/Country Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Application Number(s) or Patent Number(s)

☐ Mark if additional numbers attached

Enter either the Trademark Application Number or the Registration Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

Patent Number(s)

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ASSIGNMENT

WHEREAS, I, one of the undersigned joint inventors, of residence as listed, having invented certain new and useful improvements as below entitled, for which I have applied for a United States patent, said application having been executed on the date set forth below; and

WHEREAS, STERLING SEMICONDUCTOR, INC. (hereinafter referred to as "Assignee"), a corporation of the state of Delaware, with an address of Suite 101, 22660 Executive Drive, Sterling, Virginia 20166-9535, desires to acquire our entire right, title and interest in and to the invention, and in and to the said application and any Letters Patent that may issue thereon;

NOW, THEREFORE, for and in consideration of One Dollar (\$1.00) and other good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, we assign to Assignee, all right, title and interest in and to said invention and in and to said application and all patents which may be granted therefor, and all divisions, reissues, continuations, and continuations-in-part thereof; and we authorize and request the Commissioner of Patents and Trademarks to issue all patents for said invention insofar as my interest is concerned, to Assignee.

We also assign to Assignee, all right, title and interest in and to the invention disclosed in said application throughout the world, including the right to file applications for and obtain patents, utility models, industrial models and designs for said invention in STERLING SEMICONDUCTOR, INC.'s own name throughout the world including all rights to publish cautionary notices reserving ownership of said invention and all rights to register said invention in appropriate registries; and we further agree to execute any and all powers of attorney, applications, assignments, declarations, affidavits, and any other papers in connection therewith necessary to perfect such right, title and interest in Assignee.

We will communicate to Assignee any facts known to us respecting any improvements; and, at the expense of Assignee, we will testify in any legal proceedings, sign all lawful papers, execute all divisional, continuation, continuation-in-part, reissue and substitute applications, make lawful oaths and declarations, and generally do everything possible to vest title in Assignee and to aid Assignee to obtain and enforce proper protection for said invention in all countries.

This Assignment shall be binding on the parties' successors, assigns and legal representatives.

Title of Invention:

METHOD OF SILICON CARBIDE
MONOCRYSTALLINE BOULE
GROWTH

Attorney Docket No.:

P6244 (300842-008003)

Signature of Inventor:

Shaoping Wang

Inventor's Name:

Shaoping WANG

Residence (City and State):

Brookfield, Connecticut 06804

Date of Assignment:

October 29, 2001

Date Application Executed:

October 29, 2001

Signature of Inventor:

Aneta Kopec

Inventor's Name:

Aneta KOPEC

Residence (City and State):

Bethel, Connecticut 06801

Date of Assignment:

October 29, 2001

Date Application Executed:

October 29, 2001

Signature of Inventor:

Rodd Mitchell Ware

Inventor's Name:

Rodd Mitchell WARE

Residence (City and State):

Danbury, Connecticut 06810

Date of Assignment:

October 29, 2001

Date Application Executed:

October 29, 2001

Signature of Inventor:

Sonia Holmes

Inventor's Name:

Sonia HOLMES

Residence (City and State):

Danbury, Connecticut 06810

Date of Assignment:

October 29, 2001

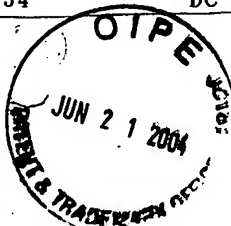
Date Application Executed:

October 29, 2001

DC 5121



UNITED STATES
PATENT AND
TRADEMARK OFFICE



JULY 09, 2003

PTAS

Under Secretary of Commerce For Intellectual Property and
Director of the United States Patent and Trademark Office
Washington, DC 20231
www.uspto.gov

JONES DAY
MS. LISA S. LATHROP
901 LAKESIDE AVE.
CLEVELAND, OH 44114-1190



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RECORDATION DATE: 02/24/2003

REEL/FRAME: 013781/0276
NUMBER OF PAGES: 5

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
STERLING SEMICONDUCTOR, INC.

DOC DATE: 01/23/2003

ASSIGNEE:
DOW CORNING ENTERPRISES, INC.
2200 WEST SALZBERG ROAD, MAIL
#C01242
C/O PAUL A. MARCELA, ESQ.
AUBURN, MICHIGAN 48611

SERIAL NUMBER: 10035672
PATENT NUMBER:

FILING DATE: 11/01/2001
ISSUE DATE:

MARY BENTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

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Form PTO-55 (Rev. 10/02)
OMB No. 0651-0027 (exp. 6/30/2005)
Tab settings $\Rightarrow \Rightarrow \Rightarrow$

02-27-2003



102375229

3. DEPARTMENT OF COMMERCE
U.S. Patent and Trademark Office

1 document or copy thereof.

To the Honorable Commissioner of Patents and Trademarks, from

1. Name of conveying party(ies):

Sterling Semiconductor, Inc.

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: 01-23-03

2. Name and address of receiving party(ies)

Name: Dow Corning Enterprises, Inc.

Internal Address: C/O Paul A. Marcela, Esq.

Dow Corning Corporation

Mail #C01242

Street Address: 2200 West Salzberg Road

City: Auburn State: MI Zip: 48611

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

10/035,672

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Ms. Lisa S. Lathrop

Internal Address: Jones Day

Street Address: 901 Lakeside Ave.

City: Cleveland State: OH Zip: 44114-1190

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41).....\$ 40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account

8. Deposit account number:

DO NOT USE THIS SPACE

9. Signature.

Deborah B. Uluer

Name of Person Signing

Signature

Date

2/14/03

Total number of pages including cover sheet, attachments, and documents: 5

02/26/2003 RECORDER 00000122 10035672

01 FC:8021

40.00 DP

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

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PATENT ASSIGNMENT

THIS PATENT ASSIGNMENT (this "*Assignment*") dated as of January 23, 2003 (the "*Effective Date*"), is made by and between Sterling Semiconductor, Inc., a Delaware corporation ("*Assignor*"), and Dow Corning Enterprises, Inc., a Delaware corporation ("*Assignee*").

WHEREAS, Assignor and Assignee are parties to that certain Asset Purchase Agreement, dated as of November 27, 2002 ("*Purchase Agreement*"), pursuant to which Assignor has agreed to sell and Assignee has agreed to purchase substantially all of the assets, properties, rights and interests relating to the Business (as defined in the Purchase Agreement);

WHEREAS, Assignor is the owner of the United States and foreign patent application identified on Schedule A (together with any continuations, divisions, continuations-in-part, reissues, reexaminations or extensions thereof and including the subject matter of all claims that may be obtained therefrom, the "*Patent*"); and

WHEREAS, Assignee wishes to acquire and Assignor wishes to assign all of Assignor's right, title and interest in and to the Patent.

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which are hereby acknowledged, the parties agree as follows:

Assignor hereby sells, assigns and transfers to Assignee all of Assignor's right, title and interest in and to the Patent for Assignee's own use and enjoyment, and for the use and enjoyment of Assignee's successors, assigns or other legal representatives, as fully and entirely as the same would have been held and enjoyed by Assignor if this assignment and sale had not been made, together with all income, royalties or payments due or payable as of the Effective Date or thereafter, including, without limitation, any such payments resulting from past, present or future infringement or other unauthorized use of the Patent, together with the right to sue for and collect the same.

Assignor requests that the Commissioner of Patents and Trademarks record Assignee as the assignee and owner of the Patent.

This Assignment may be executed in any number of counterparts, each of which shall be deemed to be an original, and all of which together shall constitute one and the same instrument.

BEST AVAILABLE COPY

IN WITNESS WHEREOF, Assignor and Assignee have caused this Assignment to be duly executed as of the date first above written.

ASSIGNOR:

STERLING SEMICONDUCTOR, INC.

By: [Signature]
Name: Howard R. Curd
Title: Chairman

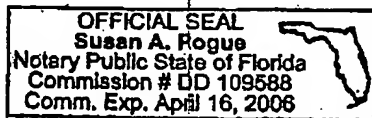
STATE OF FLORIDA)

ss:

COUNTY OF SARASOTA)

On this 17th day of January, 2003 personally appeared before me Howard R. Curd, known to me to be Chairman of Sterling Semiconductor, Inc., who acknowledged that he signed this instrument as a free act on behalf of Sterling Semiconductor, Inc.

[Signature]
Notary Public: SUSAN A. POGUE
My commission expires:



ASSIGNEE:

DOW CORNING ENTERPRISES, INC.

By: _____
Name:
Title:

STATE OF)

ss:

COUNTY OF)

On this ____ day of January, 2003 personally appeared before me _____, known to me to be _____ of Dow Corning Enterprises, Inc., who acknowledged that he/she signed this instrument as a free act on behalf of Dow Corning Enterprises, Inc.

Notary Public:
My commission expires:

IN WITNESS WHEREOF, Assignor and Assignee have caused this Assignment to be duly executed as of the date first above written.

ASSIGNOR:

STERLING SEMICONDUCTOR, INC.

By: _____

Name: Howard R. Curd

Title: Chairman

STATE OF FLORIDA)

ss:)

COUNTY OF SARASOTA)

On this 17th day of January, 2003 personally appeared before me Howard R. Curd, known to me to be Chairman of Sterling Semiconductor, Inc., who acknowledged that he signed this instrument as a free act on behalf of Sterling Semiconductor, Inc.

Notary Public: _____

My commission expires: _____

ASSIGNEE:

DOW CORNING ENTERPRISES, INC. *P.M.*

By: *Dave Cornelius*

Name: Dave Cornelius

Title: Delegation of Authority

STATE OF MICHIGAN)

ss:)

COUNTY OF BAY)

On this 21st day of January, 2003 personally appeared before me Dave Cornelius, known to me to be a representative of Dow Corning Enterprises, Inc. via delegation of authority by a Vice President of Dow Corning Enterprises, Inc., who acknowledged that he signed this instrument as a free act on behalf of Dow Corning Enterprises, Inc.

Gina M Bullard
Notary Public:

My commission expires: _____

GINA M. BULLARD
NOTARY PUBLIC, MIDLAND COUNTY, MICHIGAN
MY COMMISSION EXPIRES AUGUST 7, 2003

ACTING IN

Bay County

Schedule A

Patent Application Number 10/035,672 - Method of Silicon Carbon Monocrystalline Boule Growth (Pending - Application filed 11/1/01).

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